NATIONAL CONTACT POINT REPORTING QUESTIONNAIRE (2016)

This questionnaire is designed to help National Contact Points fulfil their reporting obligations as described in the Procedural Guidance of the OECD Guidelines for Multinational Enterprises. The answers to the questions should reflect the nature and results of the activities of the NCP¹.

STRUCTURE

This questionnaire comprises 60 questions and 2 annexes under the following headings:

- A. Contact information
- B. Institutional arrangements
- C. Information and promotion
- D. Specific instances
- E. Peer learning
- F. Policy coherence
- G. Impact and future work

Annex 1: NCP PROMOTIONAL ACTIVITIES

Annex 2: SPECIFIC INSTANCES

TYPES OF QUESTIONS

1. Yes/No questions

Most questions are Yes/No questions. For each of these questions, please select "Yes" or "No" from the dropdown menu. If a question is not relevant to your NCP, please select N/A (not applicable).

Example:

(b) Promotional activities	
23. Did the NCP organise or co-organise events to promote the Guidelines and/or the NCP during the year? If yes, please provide details in table 1 in Annex 1.	Yes/No

2. Open-ended questions

a) Under certain Yes/No questions, there are open-ended questions to request more detail. For each open-ended question, an answer box is provided. Please keep responses precise and short.

Example:

(a) Location of the NCP

1. Is the NCP located in a Ministry?

If yes, in which Ministry is the NCP located?

Click here to enter text

Click here to enter text

Page 74 of the Procedural Guidance of the OECD Guidelines for Multinational Enterprises: "Reports should contain information on the nature and results of the activities of the NCP, including implementation activities in specific instances".

b) "Additional comments" boxes are situated at the end of each section. Please feel free to enter any additional information you would like to share in these boxes.

Exam	ام	e:

Additional comments on Location of the NCP:

Click here to enter text

TERMS USED IN THE QUESTIONNAIRE

A number of terms are used throughout the questionnaire. Definitions are provided below. Please note that these definitions are exclusively intended to assist in clarifying the terms used in this questionnaire.

- Advisory body: Some NCPs have an advisory body which can be consulted by the NCP on a range of activities and issues on which it provides advice. Advisory bodies can include representatives from trade unions, NGOs, business and/or academia, along with representatives of other government ministries or agencies. They do not normally form part of the NCP and do not have decision-making power on accepting or concluding specific instances.
- Dedicated budget: A budget that is allocated to the NCP on a regular basis (e.g. every year) to carry
 out its functions and activities.
- Independent NCP: An independent NCP is one whose members do not belong to a government administration, although generally an independent NCP will be supported by a secretariat based in a government administration.
- Oversight body: Some NCPs have an oversight body, which has a monitoring role, for example on whether the NCP has followed its own rules of procedures. They can include representatives from trade unions, NGOs, business and/or academia, along with representatives of other government ministries or agencies. They do not normally form part of the NCP and do not have decision-making power on accepting or concluding specific instances.
- Stakeholder meeting: A stakeholder meeting is a meeting organised by the NCP to meet with stakeholders, including trade unions, NGOs and the business community that are not part of the structure of the NCP (i.e. they are not members of the NCP, nor present on advisory or oversight bodies).

REPORTING PERIOD

The reporting period for this questionnaire is from 1 January to 31 December 2016.

SUBMISSION

The questionnaire should be completed by using this word document and sent by email to: investment@oecd.org copying alison.holm@oecd.org and kathryn.dovey@oecd.org by 16 January 2017.

Should you have any questions on how to fill this questionnaire, please contact alison.holm@oecd.org.

NATIONAL CONTACT POINT REPORTING QUESTIONNAIRE (2016)

A. CONTACT INFORMATION

Please provide the contact information of the person filling in the questionnaire.

Name: Job title:

Alan Krill

Email:

Special Advisor for Corporate Responsibility

KrillA@state.gov

Telephone number:

+01-202-647-2231

B. INSTITUTIONAL ARRANGEMENTS		
(a) Location of the NCP		
1. Is the NCP located in a Ministry?	Yes	
If yes, in which Ministry is the NCP located?	Department of State (For	eign Affairs Ministry)
If yes, in which department of the Ministry?	Bureau of Economic and	Business Affairs
2. Is the NCP located in an investment promotion agency?	No	
3. Is the NCP an independent NCP?	No	
4. Has the NCP been established through a legal, regulatory or administrative instrument (e.g. a decree)?	No	
If yes, please provide the name and date of this instrument	Click here to enter text.	
(b) Composition of the NCP		
5. Who are the members of the NCP? Please describe the functions of the members of the NCP (e.g. President, Secretariat, Independent expert, etc.). No names are required. 6. Does the NCP have dedicated full-time staff?	The U.S. NCP is a position held by a senior U.S. government official. The Office of the U.S. NCP includes two additional full-time officers.	
If yes, please indicate the number.	Yes	3
7. Does the NCP have dedicated part-time staff? If yes, please indicate the number.	Yes	12
8. Have any full-time or part-time staff members joined the NCP during the year? If yes, please indicate how many.	Yes	1
9. Have any full-time or part-time staff members left the NCP during the year? If yes, please indicate how many.	Yes	1

10. Are other Ministries part of the institutional arrangements of the NCP? (e.g. represented on advisory or oversight bodies, participate in specific instances, etc.)	Yes
If yes, please list the Ministries (e.g. Social Affairs, Labour, Trade, Environment, Foreign Affairs, Justice, Finance, etc.)	Commerce, Labor, Environmental Protection Agency, Export Import Bank, General Services Administration, Millenium Challenge Corporation, Overseas Private Investment Corporation, Treasury, USAID, Agriculture, U.S. Trade Representative, and additional State Department bureaus, including the Bureau of Democracy, Human Rights, and Labor.
11. Are social partners and other stakeholders (trade unions, business community, civil society and other non-governmental organisations) part of the institutional arrangements of the NCP? (e.g. represented on advisory or oversight bodies, represented on the NCP, take part in specific instances)	
NGOs	Yes
Representatives of the business community	Yes
Trade unions	Yes
12. Does the NCP have an advisory body?	Yes
If yes, please describe its functions	The primary objectives of the Stakeholder Advisory Board (SAB) are to promote and facilitate the implementation of the OECD Guidelines, and encourage the use of the NCP Specific Instance process as a means to resolve disputes and promote responsible business conduct.
If yes, please list the names of organisations that are represented on the advisory body and the type of organisation, or provide a link to the list on the NCP website. (e.g. government, NGO, trade union, business, business organisation, academic, consumer organisation, etc.)	List available here: https://www.state.gov/e/eb/oecd/usncp/sab/inde x.htm
If yes, please indicate how often the NCP meets with the advisory body	Between three times a year and once a month
13. Does the NCP have an oversight body?	No
If yes, please describe its functions	Click here to enter text.
If yes, please list the names of organisations that are represented on the oversight body and the type of organisation, or please provide a link to the list on the NCP website. (e.g. government, NGO, trade union, business, business organisation, academic, consumer organisation, etc.)	Click here to enter text.
If yes, please indicate how often the oversight body meets	Choose an item.
14. Does the NCP have a body for both advice and oversight?	No
If yes, please describe its functions	Click here to enter text.
If yes, please list the names of organisations that are represented on the oversight body and the type of organisation, or provide a link to the list on the NCP website. (e.g. government, NGO, trade union, business, business organisation, academic, consumer organisation, etc.)	Click here to enter text.
If yes, please indicate how often this body meets	Choose an item.
	1

Additional comments on Composition of the NCP: Click here to enter text.	
(c) Financial resources	
15. Did the NCP have a dedicated budget this year?	Yes
16. Did the NCP have a dedicated budget to conduct its promotional activities during the year?	No
If no, were financial resources for promotional activities allocated on an ad hoc basis when requested by the NCP?	Yes
17. Did the NCP have a dedicated budget to conduct its activities related to specific instances during the year?	Yes
If no, were financial resources for specific instances allocated on an ad hoc basis when requested by the NCP?	Choose an item.
18. During the year, was the NCP able to access funds for the following activities:	
Organising promotional events	Yes
Attending NCP meetings at the OECD	Yes
Attending events organised by other NCPs	Yes
Attending events organised by other stakeholders	Yes
Professional mediator fees or in-house mediator fees	Yes
Fact-finding research into specific instances	Choose an item.
Additional comments on Financial resources: Our answer for the "fact finding" question is "N/A", as we do not conduct fact finding, per U.S. NCP procedures, and thus budget allocation is not applicable. (d) Reporting	
	, , , , , , , , , , , , , , , , , , ,
19. Does the NCP report to the government on its activities?	Yes Mare than three times a year
If yes, how often?	More than three times a year
20. Does the NCP report to parliament on its activities? If yes, how often?	No Choose an item.
Additional comments on Reporting: Regarding question #20, while there is not a standing report to Congress, the U.S. NCP is always willing to provide updates on its activities to interested stakeholders, including Congress.	

C. INFORMATION AND PROMOTION

	1	
(a) NCP website ²		
21. Was a new NCP website created this year? If yes, please provide the link.	No	Not new, but updated!
22. Are the following items available on the NCP website:		•
Information about the Guidelines and the role of the NCP		
The text of the Guidelines	Yes	
A description of the Guidelines	Yes	
Information on the NCP and its mandate	Yes	
The 2015 NCP Annual Report submitted to the OECD	Yes	
The NCP's own 2015 Annual Report	Yes	
Information about specific instances		
Information on how to submit a specific instance	Yes	
The NCP's rules of procedures	Yes	
All final statements since 2011	Yes	
Information on promotional activities		
Information on upcoming events promoting the Guidelines	No	
Information on past events promoting the Guidelines	No	
Contact information		
Information on how to make an enquiry to the NCP	Yes	
A phone number to reach the NCP directly	Yes	
An email address to reach the NCP directly	Yes	
Additional comments on NCP website : Click here to enter text.		
(b) Promotional activities ³		
23. Did the NCP organise or co-organise events to promote the Guidelines and/or the NCP during the year? If yes, please provide details in table 1 in Annex 1.	Yes	
24. Did the NCP make a presentation to promote the Guidelines and/or the NCP in events organised by others? If yes, please provide details in table 2 in Annex 1.	Yes	
25. Did the NCP make use of social media to communicate on NCP promotional activities during the year?	Yes	
26. Did the NCP hold a stakeholder meeting during the year?	Yes	
27. Did the NCP promote the Guidelines among the business community during the year?	Yes	
28. Did the NCP carry out any training on the Guidelines aimed at businesses during the year?	Yes	
29. Did the NCP promote the Guidelines among NGOs during the year?	Yes	

²

This includes dedicated NCP webpages as part of the Ministry's website.

Attendance of NCP meetings held at the OECD and other OECD events such as the Global Forum on Responsible Business Conduct are not considered to be promotional activities.

30. Did the NCP promote the Guidelines among trade unions during the year?	Yes
31. Did the NCP promote the Guidelines among government agencies during the year?	Yes
32. Did the NCP promote the Guidelines among embassies abroad during the year?	Yes
33. Did the NCP promote the Guidelines to investment promotion agencies during the year?	Yes
34. Did the NCP refer to the following sector guidance reports in promotional activities during the year:	
OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas	Yes
OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractive Sector	Yes
OECD-FAO Guidance for Responsible Agricultural Supply Chains	Yes
Additional comments on the section Promotional activities : Click here to enter text.	

D. SPECIFIC INSTANCES		
(a) NCP rules of procedure for handling specific instances		
35. Does the NCP have rules of procedure describing the handling of specific instances?	Yes	
36. Are the rules of procedure available online? If yes, please provide link. If no, please attach a copy of the rules of procedure to this questionnaire	Yes	http://bit.ly/2ikJg70
37. Were the NCP's rules of procedure modified this year?	No	
Additional comments on the section Rules of procedure: Rules of procedure were clarified, though not updated.		
(b) Specific instance practicalities		
38. Does the NCP confirm receipt of a specific instance submission?	Yes	
39. Who has the final sign-off on accepting a specific instance? Please provide the function of the relevant staff within the NCP. No names are required.	The U.S. NCP (a senior official)	
40. Who has the final sign-off on final statements? Please provide the function of the relevant staff within the NCP. No names are required.	The U.S. NCP (a senior off	icial)

41. Does the NCP request feedback from the parties on the procedure following the conclusion of a specific instance?	Yes
42. Has the NCP staff undergone training in dispute resolution or problem-solving (e.g. mediation)?	No
43. Did the NCP engage professional mediators during the year?	Yes
Additional comments on the section Specific instance practicalities: Click here to enter text.	
(c) Reporting specific instances	
44. Did the NCP receive new specific instance submissions during the year? If yes, please also provide details in Annex 2	Yes
45. Of the specific instances that were already in progress at the start of the year, are there any that are still ongoing at the end of the calendar year? If yes, please also provide details in Annex 2	No
Additional comments on the section Reporting specific instances: Click here to enter text.	

E. PEER LEARNING	
46. Did the NCP take part in the following activities with other NCPs during the year:	
NCP-hosted peer learning activities	Yes
Co-operation with other NCPs in handling specific instances	Yes
Mentoring/capacity building of another NCP	Yes
47. Is the NCP interested in hosting an NCP learning/experience-sharing event in 2017?	Yes
48. Which topic would the NCP consider to be a priority to cover in a peer learning event?	Effective mediation under the Guidelines
49. Is the NCP interested in participating in developing tools for use by NCPs?	Yes
Additional comments on the section Peer-learning activities: Click here to enter text.	

F. POLICY COHERENCE ⁴		
50. Have the Guidelines been referred to in relevant national legislation adopted during the year? (e.g. on responsible business conduct; non-financial reporting, export credits regulation, public procurement)	No	
If yes, please provide a link to the legislation. If a link is not available, please attach a copy of the legislation to this questionnaire.	Click here to enter text.	
51. Did the NCP communicate public statements on specific instances to public procurement officials?	Yes	
52. Did the NCP communicate public statements on specific instances to officials responsible for trade missions?	Yes	
53. Did the NCP communicate public statements on specific instances to officials responsible for foreign trade and investment incentives?	Yes	
54. Did your country adopt a National Action Plan (NAP) this year? If yes, please indicate which type of NAP	Yes	NAP on Responsible Business Conduct
If yes, does the NAP make reference to the Guidelines?	Yes	
If yes, does the NAP make reference to the NCP?	Yes	
55. Was a NAP in development this year? If yes, please indicate which NAP.	Yes	NAP on Responsible Business Conduct
If yes, did the NCP participate in the development of the National Action Plan?	Yes	
56. Please indicate any other examples of policy coherence activities:	Click here to enter text.	
Additional comments on Policy Coherence: The U.S. National Action Plan on Responsible Business Conduct can be found here: http://bit.ly/2jEbVBF		

G. IMPACT AND FUTURE WORK	
57. Does the NCP have a promotional plan for the coming year (2017)?	Yes
58. Is the NCP interested in being a <u>reviewer</u> in a peer review planned in 2017 or 2018?	Yes
59. Is the NCP interested in being an <u>observer</u> of a peer review planned in 2017 or 2018?	Yes
60. Has the NCP faced any particular challenge(s) it would like to highlight this year?	Click here to enter text.

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Paragraph 37 of the Commentary on the Implementation Procedures of the OECD Guidelines for Multinational Enterprises: "Statements and reports on the results of the proceedings made publicly available by the NCPs could be relevant to the administration of government programmes and policies. In order to foster policy coherence, NCPs are encouraged to inform these government agencies of their statements and reports when they are known by the NCP to be relevant to a specifics agency's policies and programmes [...]."

Additional comments on the section Impact and future work:	
Click here to enter text.	

Annex 1: NCP PROMOTIONAL ACTIVITIES

Please provide information on the events organised or co-organised by the NCP (Table 1), and events in which the NCP has participated to promote the Guidelines (Table 2). Please select the event type, size and type of audience as well as the theme from the dropdown menus for each event. Please add additional lines if needed.

Table 1

NCP-orgai	NCP-organised and co-organised events to promote the Guidelines and/or the NCP								
Title	Date (dd/mm/yyyy)	Location	Type of event	Size of audience	Organised or co- organised?	Targeted audience e.g. Business representatives, NGOs, Trade unions, Academia, General public, Government representatives, etc.	Theme e.g. the OECD Guidelines, the NCP activities on sector due diligence guidance documents, etc.		
Secretary of State's Award for Corporate Excellence	5 March 2016	Washington DC	Other	>100	Organised	U.S. business, civil society, labor, academia, government officials, etc.	Responsible business conduct		
Accountabi lity Counsel Board Meeting	11 March 2016	Washington DC	Meeting	<10	Co-organised	Civil Society	OECD Guidelines/U.S. NCP		
Voluntary Principles on Security and Human Rights Plenary	20-22 April 2016	Bogota	Meeting	50-100	Co-organised	Extractive industries companies, civil society, governments	OECD Guidelines/U.S. NCP		
Mediator Training on OECD Guidelines	13 October 2016	Washington DC	Other	10-50	Organised	U.S. NCP Mediators and Interagency Working Group members	Mediation under the OECD Guidelines		
Rollout of	16 December	Washington DC	Other	50-100	Co-Organised	U.S. business, civil society, labor, academia,	Responsible business conduct		

the U.S.	2016			government officials, etc.	
National					
Action Plan					
on					
Responsibl					
e Business					
Conduct					

Total number= 5

Table 2

Presentat	Presentations by the NCP to promote the Guidelines and/or the NCP in events organised by others								
Title	Date (dd/mm/yyyy)	Location	Type of event	Size of audience	Targeted audience e.g. Business representatives, NGOs, Trade unions, Academia, General public, Government representatives, etc	Organiser(s)	Type of intervention	Theme of the intervention	
Briefing Embassy Labor Officer	8 January 2016 and 25 July 2016	Washington DC	Other	10-50	U.S. Foreign Service Officers working on labor issues at embassies and consulates	Foreign Service Institute	Presentation	OECD Guidelines/U.S. NCP	
CSR Experts Panel	13, January 2016	Washington DC	Conference	10-50	Graduate Students	Columbia University	Panel Discussion	OECD Guidelines/U.S. NCP	
Business Council for Internation al Understan ding	27, January 2016	Washington DC	Other	50-100	U.S. Businesses	BCIU/State Department	N/A, Reception	OECD Guidelines/U.S. NCP	
Ethical Sourcing Forum	7 April 2016	New York City	Conference	>100	Business	Ethical Sourcing Forum	Presentation	OECD Guidelines/U.S. NCP	
Social Lifecycle Assessmen t Conferenc	12 June 2016	Cambridge, MA	Conference	50-100	Academia, business	Harvard University	Presentation	OECD Guidelines/U.S. NCP	

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Briefing embassy economic officers	8 September	Washington DC	Other	10-50	U.S. Foreign Service Officers working on economic issues at embassies and consulates	Foreign Service Institute	Presentation	OECD Guidelines/U.S. NCP
OECD Guidelines and the Law	17 September 2016	Washington DC	Conference	50-100	Lawyers, business, civil society, labor, academia	OECD, IBA, GWU	Panel Discussion	OECD Guidelines/U.S. NCP
Internation al Bar Associatio n	21 September 2016	Washington DC	Conference	10-50	Lawyers	International Bar Association	Panel Discussion	OECD Guidelines/U.S. NCP
Coca-Cola Business and Human Rights Conferenc	22 September	Washington DC	Conference	>100	Business	Coca-Cola	Presentation	OECD Guidelines/U.S. NCP
BSR CSR Committee	29 September 2016	Washington DC	Webinar	10-50	Business	BSR	Presentation	OECD Guidelines/U.S. NCP
Environme ntal and Social Disclosure Conferenc e	5 October 2016	Denver, CO	Conference	50-100	Lawyers	American Bar Association	Panel discussion	OECD Guidelines/U.S. NCP
USCIB Labor and Social Responsibi lity Committee	19 October 2016	Washington DC	Meeting	10-50	Business	U.S. Council for International Business	Presentation	OECD Guidelines/U.S. NCP
RBC Briefing at Haas School of Business	30 October 2016	Berkeley, CA	Meeting	10-50	Business students	Berkeley Haas School of Business	Presentation	OECD Guidelines/U.S. NCP

Total number=	14
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Annex 2: SPECIFIC INSTANCES

Please provide details of the following in the table below:

- 1. Specific instances in progress during the year (specific instances received and found to merit further examination after the initial assessment, and under consideration by the NCP).
- 2. Specific instances **concluded** during the year (specific instances that the NCP found to merit further examination after the initial assessment and that have subsequently been closed).
- 3. Specific instances not accepted during the year (specific instances that the NCP found not to merit further examination).

Please add additional lines if needed.

We encourage all NCPs to inform the Secretariat on received specific instances and to provide a final statement as soon as it becomes available, in order to keep the OECD database updated at all times. For all specific instances that have not yet been reported to the Secretariat, please complete and send this form to Alison.holm@oecd.org and Kathryn.dovey@oecd.org⁵.

For all specific instances that are currently IN PROGRESS:

Names of parties	Date received (dd/mm/yyyy)	Is the initial assessment publicly available?	Link to OECD database if available	Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe.
N/A	September 2016	No	N/A	N/A
Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.	Click here to enter text.

Total number=	1

According to paragraph 42 of the Commentary on the Implementation Procedures of the OEDC Guidelines for Multinational Enterprises, "[...] NCPs will report to the Investment Committee in order to include in the Annual Report on the OECD Guidelines information on all specific instances that have been initiated by parties, including those that are in the process of an initial assessment, those for which offers of good offices have been extended and discussions are in progress, and those in which the NCP has decided not to extend an offer of good offices after an initial assessment".

For all specific ins	or all specific instances that were CONCLUDED during the year:						
Title	Date received (dd/mm/yyyy)	Date concluded (dd/mm/yyyy)	Link to OECD database if available	Outcomes achieved	Follow-up by the NCP	Did the NCP co-operate with other NCPs during the handling of this specific instance? If yes, please describe.	
IUF-Pepsico	November 2015/November 2013	15 April 2016	http://mneguidelines.oe cd.org/database/instanc es/us0037.htm	Change in company policy/procedure	Follow-up conducted: Agreement was implemented in full	No	
IUF-Starwood Hotels	9 February 2015	12 May 2016	http://mneguidelines.oe cd.org/database/instanc es/us0042.htm	Agreement reached between the parties inside the NCP process	Follow-up conducted: Agreement was implemented in full	No	
Grupo Commercial Chedraui and group of trade unions, NGOs	12 November 2015	14 July 2016	http://mneguidelines.oe cd.org/database/instanc es/us0043.htm	U.S. NCP offered deferred mediation, pending the parties' conclusion of an ongoing process on the same issues with the U.S. NCP's mediators.		Mexico	
ASARCO Grupo Mexico, USW, Mineros	18 February 2016	8 August 2016	http://mneguidelines.oe cd.org/database/instanc es/us0044.htm	U.S. NCP offered mediation and company declined.		Mexico	
ECDHR-Boeing- Lockheed	23 June 2016	18 November 2016	TBD	U.S. NCP did not offer mediation. The issues raised concerned the conduct of particular states, and would have entailed an examination of state conduct, which would not serve to advance the Guidelines.		No	

Total number=	5

For all specific ins	For all specific instances that were NOT ACCEPTED during the year:							
Title Date received (dd/mm/yyyy) Link to OECD database if available Reasons for not accepting the specific instance specific instance received database if available Reasons for not accepting the specific instance specific instance? If yes, please describe.								
Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.				

Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.	Choose an item.	Click here to enter text.

Total number= Click here to enter text.

END OF QUESTIONNAIRE